



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231
www.uspto.gov

| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|-----------------|-------------|----------------------|---------------------|------------------|
| 09/765,693 | 01/19/2001 | Daniel S. Sem | P-TB 4568 | 6461 |

23601 7590 03/27/2002

CAMPBELL & FLORES LLP
4370 LA JOLLA VILLAGE DRIVE
7TH FLOOR
SAN DIEGO, CA 92122

| |
|----------|
| EXAMINER |
|----------|

GARCIA, MAURIE E

| | |
|----------|--------------|
| ART UNIT | PAPER NUMBER |
|----------|--------------|

1627

DATE MAILED: 03/27/2002

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.
09/765,693

Applicant(s)

Sem

Examiner
Maurie E. Garcia, Ph. D.

Art Unit
1627



-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE THREE MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136 (a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1) ☒ Responsive to communication(s) filed on Jan 3, 2002

2a) ☐ This action is FINAL. 2b) ☒ This action is non-final.

3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 35 C.D. 11; 453 O.G. 213.

Disposition of Claims

4) ☒ Claim(s) 15-19 is/are pending in the application

4a) Of the above, claim(s) _____ is/are withdrawn from consideration

5) ☐ Claim(s) _____ is/are allowed.

6) ☒ Claim(s) 15-19 is/are rejected.

7) ☐ Claim(s) _____ is/are objected to.

8) ☐ Claims _____ are subject to restriction and/or election requirements

Application Papers

9) ☐ The specification is objected to by the Examiner.

10) ☐ The drawing(s) filed on _____ is/are objected to by the Examiner.

11) ☐ The proposed drawing correction filed on _____ is: a) ☐ approved b) ☐ disapproved.

12) ☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. § 119

13) ☐ Acknowledgement is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d).

a) ☐ All b) ☐ Some* c) ☐ None of:

1. ☐ Certified copies of the priority documents have been received.

2. ☐ Certified copies of the priority documents have been received in Application No. _____

3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

*See the attached detailed Office action for a list of the certified copies not received.

14) ☐ Acknowledgement is made of a claim for domestic priority under 35 U.S.C. § 119(e).

Attachment(s)

15) ☐ Notice of References Cited (PTO-892)

18) ☐ Interview Summary (PTO-413) Paper No(s). _____

16) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)

19) ☐ Notice of Informal Patent Application (PTO-152)

17) ☒ Information Disclosure Statement(s) (PTO-1449) Paper No(s). 4

20) ☐ Other:

DETAILED ACTION

1. The Response filed January 3, 2002 is acknowledged. No claims were amended, added or cancelled. Therefore, claims 15-19 are pending.

Election/Restriction

2. Applicant's election of species is acknowledged. Applicant requests that two of the species be examined together (nicotinamide adenine dinucleotide and nicotinamide adenine dinucleotide phosphate). The argument was found persuasive and these species are examined together in this action. However, the remaining species elections remain in effect.

3. Concerning the fact that an election is a "provisional election", the following is noted.

See MPEP § 803.02 (emphasis added):

On the other hand, should no prior art be found that anticipates or renders obvious the elected species, the search of the Markush-type claim will be extended. If prior art is then found that anticipates or renders obvious the Markush-type claim with respect to a nonelected species, the Markush-type claim shall be rejected and claims to the nonelected species held withdrawn from further consideration. ***The prior art search, however, will not be extended unnecessarily to cover all nonelected species.*** Should applicant, in response to this rejection of the Markush-type claim, overcome the rejection, as by amending the Markush-type claim to exclude the species anticipated or rendered obvious by the prior art, the amended Markush-type claim will be reexamined. The prior art search will be extended to the extent necessary to determine patentability of the Markush-type claim. In the event prior art is found during the reexamination that anticipates or renders obvious the amended Markush-type claim, the claim will be rejected and the action made final. Amendments submitted after the final rejection further restricting the scope of the claim may be denied entry.

4. Claims 15-19 are examined on the merits in this action.

Claim Rejections - 35 USC § 112

5. The following is a quotation of the first paragraph of 35 U.S.C. 112:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

6. Claims 15-19 are rejected under 35 U.S.C. 112, first paragraph, as containing subject matter which was not described in the specification in such a way as to reasonably convey to one skilled in the relevant art that the inventor(s), at the time the application was filed, had possession of the claimed invention.

To satisfy the written description requirement, an applicant must convey with reasonable clarity to those skilled in the art that, as of the filing date sought, he or she was in possession of the invention. Applicant's claims are directed to a "method for identifying a bi-target ligand to a receptor". The claims use generic terminology such as "common ligand", "conserved site", "specificity ligand", "specificity site", "receptor family" and "expansion linker". These terms are defined in the instant disclosure but the definitions are very broad.

No specific structure of such compounds is set forth. The present application fails to describe a specific example of making even a single compound which is within the scope of the presently claimed invention. Applicant's claimed scope of compounds represents only an invitation to experiment regarding possible compounds. With respect to adequate disclosure of the scope of the presently claimed generic applicant is referred to the discussion in *University of California v. Eli Lilly and Co.* (U.S. Court of Appeals

Federal Circuit (CAFC) 43 USPQ2d 1398 7/22/1997 Decided July 22, 1997; No. 96-1175) regarding disclosure. For adequate disclosure, like enablement, requires *representative examples* which provide reasonable assurance to one skilled in the art that the compounds falling within the scope both possess the alleged utility and additionally demonstrate that *applicant had possession of the full scope of the claimed invention*. See *In re Riat et al.* (CCPA 1964) 327 F2d 685, 140 USPQ 471; *In re Barr et al.* (CCPA 1971) 444 F 2d 349, 151 USPQ 724 (for enablement) and *University of California v. Eli Lilly and Co* cited above (for disclosure). The more unpredictable the art the greater the showing required (e.g. by “representative examples”) for both enablement and adequate disclosure.

Again, the specification discloses **no** examples of the preparation and use of such “bi-target ligands”. The compounds that make up these bi-target ligands (i.e. “common ligand” and “specificity ligands”) could encompass very different moieties such as peptides and organic molecules. Additionally, the description of “conserved site” as residues that are sufficient for activity and “specificity site” as a binding site for a ligand exhibiting specificity for a receptor (from the instant specification, pages 13-15) are simply not adequate support to show possession of the claimed invention. The disclosure is neither representative of the claimed genus, nor does it represent a substantial portion of the claimed genus. Moreover, the claimed genus encompasses members which are yet to be prepared or envisioned. This further evidences that instant disclosure does not constitute support for the claimed genus or a substantial portion thereof.

7. Claims 15-19 are rejected under 35 U.S.C. 112, first paragraph, as containing subject matter which was not described in the specification in such a way as to enable one skilled in the art to which it pertains, or with which it is most nearly connected, to make and/or use the invention.

There are many factors to be considered when determining whether there is sufficient evidence to support a determination that a disclosure does not satisfy the enablement requirement and whether any necessary experimentation is “undue”. These factors include, but are not limited to:

- (1) the breadth of the claims;
- (2) the nature of the invention;
- (3) the state of the prior art;
- (4) the level of one of ordinary skill;
- (5) the level of predictability in the art;
- (6) the amount of direction provided by the inventor;
- (7) the existence of working examples; and
- (8) the quantity of experimentation needed to make or use the invention based on the content of the disclosure.

See *In re Wands*, 858 F.2d 731, 737, 8 USPQ2d 1400, 1404 (Fed. Cir. 1988).

The breadth of the claims and the nature of the invention: The claims are drawn to a “method for identifying a bi-target ligand” made up of a “common ligand” and two “specificity ligands”. No limitations on the specific structure of the “bi-target ligand” are given and, as such, this could read on a wide variety of structures. The invention is such that each of the components must be present in operable form for successful practice of the invention. For example, the “common ligand” and “specificity ligands” must bind to their respective sites and the sites must be able to be determined. The state of the prior art and the level of predictability in the art: Compounds that interact with various

enzyme targets were known in the art at the time of filing; however, only limited numbers of such compounds were known and the specification gives no guidance to permit one of skill in the art to devise strategies for synthesis of *any* such compound. The “bi-target ligands” of the instant claims require “common ligands” and “specificity ligands”; however, such ligands were not generally known in the art. The structures of possible variants are sufficiently diverse and one of ordinary skill would not be able to predict their structures. Moreover, the claims require the presence of a “common ligand” to a “conserved site” and two “specificity ligands” to “specificity sites” of a first and a second receptor. One of ordinary skill would not know, a priori, how to determine such a ligand and, most importantly, how to determine the conserved and specificity sites since this is a very unpredictable area of the art. This is especially true since the conserved site must be conserved across a receptor family. Applicant’s claimed scope of compounds represents only an invitation to experiment regarding possible compounds (see also above rejection concerning written description and cases cited therein). The level of one of ordinary skill: The level of skill would be high, most likely at the Ph.D. level. The existence of working examples and the quantity of experimentation needed to make or use the invention based on the content of the disclosure: Applicants have provided **no** working examples and the state of the prior art is such that one of ordinary skill could not predict how to determine a “conserved site” for a receptor family, find a “common ligand” thereto, and further find two “specificity ligands” to a “specificity sites” of a first and a second receptor and then link them as required by the instant claims. Therefore, further

research would be necessary to make or use the invention and it would require undue experimentation to carry out the invention as claimed. Note that there must be sufficient disclosure, either through illustrative examples or terminology, to teach those of ordinary skill how to make and use the invention as broadly as it is claimed. *In re Vaeck*, 947 F.2d 488, 496 & n.23, 20 USPQ2d 1438, 1445 & n.23 (Fed. Cir. 1991). Therefore, it is deemed that further research of an unpredictable nature would be necessary to make or use the invention as claimed. Due to the inadequacies of the instant disclosure, one of ordinary skill would not have a reasonable expectation of success and the practice of the invention would require undue experimentation.

Status of Claims/ Conclusion

8. No claims are allowed.
9. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Maurie E. Garcia, Ph.D. whose telephone number is (703) 308-0065. The examiner can normally be reached on Monday-Thursday and alternate Fridays from 8:30 to 6:00.
10. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Jyothsna Venkat, can be reached on (703) 308-2439. The fax phone number for the organization where this application or proceeding is assigned is (703) 308-4242. Any inquiry of

Application/Control Number: 09/765,693
Art Unit: 1627

Page 8

a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 308-0196.

Maurie E. Garcia, Ph.D.
March 22, 2002



MAURIE E. GARCIA, PH.D.
PATENT EXAMINER